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APPLICATION NO. 09/007,574	FILING DATE 05/29/98	FIRST NAMED INVENTOR HARRINGTON	ATTORNEY DOCKET NO. 3334-2
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EXAMINER THOMPSON JR, E

ART UNIT 2765	PAPER NUMBER
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02/08/00

DATE MAILED:

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

Notice of Allowability

Application No.
09/087,574

Applicant(s)

HARRINGTON ET AL.

Examiner
Forest Thompson Jr.

Group Art Unit
2765



All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance and Issue Fee Due or other appropriate communication will be mailed in due course.

☒ This communication is responsive to Amendment filed on 10 January 2000

☒ The allowed claim(s) is/are 2-11 and 65-87

☐ The drawings filed on _____ are acceptable.

☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).

☐ All ☐ Some* ☒ None of the CERTIFIED copies of the priority documents have been

☐ received.

☐ received in Application No. (Series Code/Serial Number) _____

☐ received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

*Certified copies not received: _____

☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

A SHORTENED STATUTORY PERIOD FOR RESPONSE to comply with the requirements noted below is set to EXPIRE **THREE MONTHS** FROM THE "DATE MAILED" of this Office action. Failure to timely comply will result in ABANDONMENT of this application. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

☐ Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL APPLICATION, PTO-152, which discloses that the oath or declaration is deficient. A SUBSTITUTE OATH OR DECLARATION IS REQUIRED.

☒ Applicant MUST submit NEW FORMAL DRAWINGS

☐ because the originally filed drawings were declared by applicant to be informal.

☒ including changes required by the Notice of Draftsperson's Patent Drawing Review, PTO-948, attached hereto or to Paper No. 5.

☐ including changes required by the proposed drawing correction filed on _____, which has been approved by the examiner.

☐ including changes required by the attached Examiner's Amendment/Comment.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the reverse side of the drawings. The drawings should be filed as a separate paper with a transmittal letter addressed to the Official Draftsperson.

☐ Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Any response to this letter should include, in the upper right hand corner, the APPLICATION NUMBER (SERIES CODE/SERIAL NUMBER). If applicant has received a Notice of Allowance and Issue Fee Due, the ISSUE BATCH NUMBER and DATE of the NOTICE OF ALLOWANCE should also be included.

Attachment(s)

☒ Notice of References Cited, PTO-892

☒ Information Disclosure Statement(s), PTO-1449, Paper No(s). 9

☐ Notice of Draftsperson's Patent Drawing Review, PTO-948

☐ Notice of Informal Patent Application, PTO-152

☐ Interview Summary, PTO-413

☐ Examiner's Amendment/Comment

☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material

☒ Examiner's Statement of Reasons for Allowance

ERIC W. STAMBER
PRIMARY EXAMINER

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DETAILED ACTION

Allowable Subject Matter

- ES
1. Claims ²⁻¹¹~~2-10~~ and 65-87 are allowed.
 2. This action is responsive to the amendment filed 24 January 2000 (see Paper #10).
 3. The amendment filed on 24 January 2000 is sufficient to overcome the objections and rejections stated in the first Action mailed 09 September 1999 (see Paper #5).

Drawings

4. New formal drawings are required in this application to overcome Draftsperson's objections as provided on Form PTO-948, and objections identified in the First Action (see Paper #5). Applicant is advised to employ the services of a competent patent draftsman outside the Office, as the Patent and Trademark Office no longer prepares new drawings.
5. Applicant is hereby given **ONE MONTH** from the mailing date of this letter or until the expiration of the period set in the "Notice of Allowance" (PTOL-85) or Notice of Allowability" (PTOL-37 or PTO-37), whichever is longer, to file corrected drawings.

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6. Failure to take corrective action within the set (or extended) period will result in **ABANDONMENT** of the application.

Statement of Reasons for Allowance

7. The objections and rejections stated in the First Action (Paper #5) have been overcome by applicant's amendment. The following is a statement of reasons for the indication of allowable subject matter:

The instant invention relates to a novel and unobvious system directed to an electronic auctioning process for auctioning fixed income securities, the system and process requiring, among other things, automatically computing at least one interest cost value based at least in part on said inputted data, said automatically computed interest cost value specifying a rate representing borrowing cost associated with said at least one fixed income security, in similar terminology in both of the independent claims. Applicant's amendment makes the invention unique and distinct over prior art.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

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Conclusion

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Forest Thompson whose telephone number is (703) 306-5449. The examiner can normally be reached Monday-Friday from 7:30 AM to 4:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Allen MacDonald, can be reached at (703) 305-9708.

The fax number for Formal or Official faxes to Technology Center 2700 is (703) 308-9051 or 9052. Draft or Informal faxes for this Art Unit can be submitted to (703)308-1396.

Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703) 305-3900.

February 2, 2000 /FOT

